Choice Performance Confirmation Program
Final Application and Guide

Congratulations! You have passed the first stage. Your preliminary application packet was approved by the Office of Financial Management (OFM), State Human Resources, and you are ready to move forward. Your next steps are to develop and test your performance management program, and submit your final application for the Choice Performance Confirmation (CPC) program.

Application Process
The next steps in the process are:

Program development
1. **Develop/Document program.** The project manager and work group develop model PDPs and work on the seven CPC program components, including:
   - Develop and/or document current program components including procedures, implementation and communication strategies and plans, and monitoring procedures
   - Program award criteria and process
   - Recommendation and approval process
   - Reconsideration process
   - Roles, accountability, policies and procedures
   - Training strategies and plans
   - Funding

   The CPC program should have a full action plan as well as an analysis where there are gaps.

Final Application
2. **Confirmation review group.** SHR will convene a confirmation review group (CRG) consisting of three representatives from confirmed agencies. In addition to evaluating your final application, the CRG will provide feedback and input as you develop your program and submit your final application. SHR is also available for consultation as you move through the conformation process.
3. **Final application.** When ready, the project manager and work group complete and submit the final application to SHR. SHR will review the plan against the 10 confirmation criteria, ensure the program contains the components of a successful performance management program and schedule a briefing.
4. **Briefing.** Your chief executive/deputy, project manager and work group present your application to SHR and the CRG.
5. **Deliberations.** SHR and the CRG analyze the final application and make a recommendation to the OFM director or designee.
6. **Decision.** The OFM director or designee makes a decision on whether to grant confirmation.

Implementation

7. **Post-confirmation implementation.** Following confirmation, you provide training to your supervisors on your performance incentive program. After training, the project manager and work group assess results and prepare to implement the award program.

8. **Post-confirmation monitoring report.** Following the distribution of your first-year awards, you will conduct another Employee Performance Management Program Survey. Those results will be included in your initial report to SHR. In addition to the survey results, your agency collects data, analyzes the results and submits a report to SHR following SHR guidelines. SHR analyzes the report and provides input to the OFM director or designee. Confirmed agencies are required to submit annual reports to SHR following their designation. SHR will work with an agency to help assure a successful program by providing consultations, other agency examples and resources. SHR reserves the right to remove an agency's designation if its performance management program no longer meets the required components.

9. **Post-confirmation program development.** Following confirmation, your agency should be continually developing and pushing forward your performance management program to better align with your agency culture and new best practices by either improving current CPC program components and/or developing additional components. Any changes to current components, or development of new components, are required to be reported to SHR as they occur.

Application content

You have completed the preliminary application packet and satisfied the basic criteria for moving forward. While you may choose to simply complete the final application, we also offer an optional interim report (both located on Attachment A). The interim report gives you the opportunity to receive feedback as you develop your program. Both the interim report and final application consist of responses to a series of questions with supporting documentation, survey results and other data.

In preparation, you should:

1. **Review the optional interim report and final application submittal table.** This table is similar to the preliminary application submittal table for your preliminary application packet (see Attachment A). Criteria requirements are presented in question-and-answer format. The left-hand column contains the questions to complete and the attachment(s) to include with your response. Some criteria have more than one category of questions to complete. The bulleted questions describe details that must be addressed.

   You may include information from other applications such as Baldrige or WSQA to support your response to these questions (see WSQA cross-reference table). The right-hand column contains the standards that will be used to evaluate your application. They measure the maturity of your approaches, the breadth of deployment strategies, extent of organizational learning and integration with your overall performance management system. You should refer to the application questions and the evaluation standards in your responses.

2. **Respond completely to all application questions.** The questions allow the confirmation review group (CRG) and SHR to evaluate and provide feedback. Review and feedback depend entirely on the completeness of your responses.
3. **Cross-reference where appropriate.** While the questions are designed to evaluate different criteria, some information may be relevant to many areas. It is appropriate to refer to previous responses without repeating information.
4. **Optional: Complete the interim reports.** The reporting format for the reports is the same as the application. The far-left column of the submittal table contains the questions and requested support information for each of the three interim reports. The bulleted items describe details that should be addressed for each question. Be sure to include the attachments with your report.
5. **Start the final application by preparing the introduction.** The introduction helps reviewers understand your lines of business, structure and performance management philosophy. You should discuss your vision, mission, values and other information critical to understanding your organization.
6. **Complete the final application.** The middle column of the submittal table contains the requirements for the final application. The far right-hand column contains the evaluation standards. You should refer to the application questions and the scoring evaluation materials in framing your responses.

See Attachment A to review the optional interim report and final application requirements.

Consultation and assistance
SHR is available to provide consultation and assistance throughout the confirmation process, including a briefing to your executive management team about the confirmation process. Please contact Olivia Huynh at [Olivia. Huynh @ofm.wa.gov](mailto:Olivia.Huynh@ofm.wa.gov) for more information.

Tools and Resources
Use the following tools and resources to learn more about the confirmation process:
- ❏ Choice Performance Confirmation Program – Overview
- ❏ Application Guide – Preliminary Application Submittal Guide
- ❏ Preliminary Readiness Assessment
- ❏ Employee Performance Management Program Survey
- ❏ Baldrige/WSQA Question Crosswalk Table
- ❏ Final Application and Guide
- ❏ Monitoring Report Guide

Attachments
A. Interim Report and Final Application Submittal Table
B. Checklist

The table below provides the detailed list of application questions and evaluation standards required to complete your application.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
	Introduction What are your agency's purpose, vision, mission and values? What are your agency's main services and organizational structure? What are your agency's philosophy and goals around performance management?	Not rated
Performance Incentive Program		

Performance Incentive Program
Interim report
Practices
What performance-based practices are you considering for your performance incentive program?
  1. We have discussed the desired outcomes we expect to achieve by developing an incentive program.
  2. We have discussed what parts of our organization and which employees will be impacted by this program.
  3. We have discussed what performance-based practices we are proposing for our performance incentive program such as:
	Performance Incentive Program
	Practices
	What performance-based practices are you considering for your performance incentive program?
	  1. We have discussed the desired outcomes we expect to achieve by developing an incentive program.
	  2. We have discussed what parts of our organization and which employees will be affected by this program.
	  3. We have discussed what performance-based practices we are proposing for our performance incentive program such as:
		Performance Incentive Program
		Practices
		❑ Details the tools being requested.
		❑ Details which parts of the organization the program will be used in.
		❑ Details which employees will and won't be eligible to participate in the program.
		❑ Describes the desired impacts this program will have on organizational and individual performance.
		❑ Types and amounts fall with scope allowed within the rules.
		❑ If program uses multiple levels:
		  ❑ Incentive levels are clear, specific and transparent (if program uses multiple levels).

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards

a. Leave amounts for lump sum, goal sharing and gain sharing programs
b. Benefits and/or penalties for layoff programs
c. Award levels (if using an award program with multiple levels)
 	
Include as attachments copies of charts and/or tables detailing incentive types, amounts and levels.
 	
Additional interim report
What updates/changes have you made to the proposed performance-based practices?
	a. Leave amounts for lump sum, goal sharing and gain sharing programs
	b. Benefits and/or penalties for layoff programs
	c. Award levels (if using an award program with multiple levels)
	
	Include as attachments copies of charts and/or tables detailing incentive types, amounts and levels.
		❑ Criteria distinguishes excellent performance from otherwise expected performance.
		❑ Criteria distinguishes poor performance from otherwise expected performance (for layoff penalty programs).
		❑ Criteria describes excellent performance in terms of real contribution to accomplishment of organizational performance. For example:
		  ❑ Significant enhancement of client services, agency products or mission.
		  ❑ Contributions which result in substantial cost savings to the agency or increased revenues for the state.
		  ❑ Excellent effort and/or demonstrated efficiencies that lead to significant productivity improvements and/or measurable increases in the organization's output.
		  ❑ Development of an advancement, which results in greater efficiency, or increased productivity
		❑ Criteria can be applied to all employees regardless of work unit or job type.
		❑ Practices do not create undue risk to the liability, credibility and integrity of state government.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
Performance Incentive Program **Recommendation & approval process** **Interim report** What recommendation and approval process are you proposing for your performance incentive program? Your response should describe: • The process for supervisors to make incentive recommendations. • Who will evaluate and make final determinations regarding incentives. • The process that will be used for evaluating recommendations. • The time frames within which recommendations and determinations will be made. • How recommendations will affect employees. Include as attachments program documentation detailing your recommendation and approval process. **Additional interim report** What updates/changes have you made to the proposed recommendation and approval process?	**Performance Incentive Program** **Recommendation & approval process** What recommendation and approval process are you proposing for your performance incentive program? Your response should describe: • The process for supervisors to make incentive recommendations. • Who will evaluate and make final determinations regarding incentives. • The process that will be used for evaluating recommendations. • The time frames within which recommendations and determinations will be made. • How recommendations and determinations will be communicated to affected employees. Include as attachments program documentation detailing your recommendation and approval process.	**Performance Incentive Program** **Recommendation & approval process** ❑ Recommendation process is integrated with PDP process. ❑ Recommendation and approval process are clear, specific and transparent. ❑ Recommendation and approval process allow for timely determination of incentives.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
Performance Incentive Program **Reconsideration process** **Interim report** What is your employee reconsideration process? Include as attachments program documentation detailing your reconsideration process. **Additional interim report** What updates/changes have you made to the proposed reconsideration process?	**Performance Incentive Program** **Reconsideration process** What is your employee reconsideration process? Include as attachments program documentation detailing your reconsideration process.	**Performance Incentive Program** **Reconsideration process** ❑ Reconsideration process is clear, specific and transparent. ❑ Reconsideration process allows for timely consideration and determination.
1. Executive Commitment		
Executive commitment None	**Executive commitment** How has your leadership demonstrated its commitment to a performance-based culture and successfully implementing a new performance management program? Your response should describe: • How your executive leadership has communicated its commitment to successfully implementing CPC. • How your agency has allocated adequate resources to achieve CPC. • How your agency has allocated adequate resources to ensure success of the performance management program.	**Executive commitment** ❑ Agency demonstrates a historic culture of performance. ❑ Chief executive has communicated his/her commitment to both a performance management culture and successfully implementing CPC. ❑ Chief executive has communicated his/her commitment to new performance incentive program to employees (if appropriate). ❑ Senior leadership has been involved in the development of the agency's current performance management system and

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
	Include as attachments copies of executive communications such as: • Notes or minutes from face-to face meetings conducted with employees and director • Letters, email • Posters • Newsletters • Intranet pages • Notes or minutes from staff meetings • Copy of confirmation team roster	CPC, including the development of the best practice components. ❑ Agency has allocated adequate resources to successfully implement the new performance management program.
2. Readiness Assessment		

Readiness assessment
Organizational performance planning
None
	Readiness assessment
	Organizational performance planning
	How has your leadership promoted and supported organizational performance planning and results?
	
	Your response should describe:
	• Your process for developing your strategic plan.
	• Your process for monitoring and reporting performance against goals.
	• How your process integrates with other planning and assessment systems (GMAP, WSQA, etc.).
	• The systems you have in place for communicating performance results.
		Readiness assessment
		Organizational performance planning
		❑ Agency vision, mission and values are clearly stated and communicated to all employees.
		❑ Agency has a strategic plan with business goals, objectives and strategies in place.
		❑ Agency has performance measures in place for each business line.
		❑ Agency has a process for monitoring and reporting performance on:
		  ❑ Strategic plan and business plan goals
		  ❑ Organizational performance levels
		  ❑ Tracks all employees

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
	Include as attachments: • A copy of your strategic plan • A copy of your business plan (if applicable) • A copy of your performance measures for each business line in the organization • Results WA or comparable reports on business goal and performance measure progress • WSQA application and feedback report (if applicable) • Baldrige application and feedback report (if applicable)	❑ Reports compliance to executive management ❑ Agency integrates the performance management system throughout the organization through activities such as Results WA, balance scorecard, WSQA and other types of assessments (e.g., internal and external audits). ❑ Managers and supervisors communicate agency goals effectively to employees at all levels.

Readiness assessment
Recognition and reward systems
None
	Readiness assessment
	Recognition and reward systems
	What is your agency's experience recognizing or rewarding excellent performance?
	
	Your response should describe your experience identifying and responding to high performance.
	
	Include as attachments copies of relevant materials.
		Readiness assessment
		Recognition and reward systems
		❑ Demonstrated experience recognizing excellent performance such as:
		  ❑ Recognition program that:
		    ❑ Ties individual contribution to organizational results
		    ❑ Has defined criteria
		    ❑ Has a formal process
		  ❑ Succession programs that target high performers.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
3. Roles & Responsibilities		

Roles & responsibilities
Interim report
What modifications are you proposing to roles and responsibilities?
 	
Your response should describe:
• Tasks accomplished from your action plan.
• Modifications to your action plan.
• How you have addressed the gaps identified in your previous analysis.
• Any new gaps you have identified.
• What new or modified roles and responsibilities you are making to support the CPC.
 	
Include as attachments copies of draft policies, procedures or other documentation outline new or modified roles and responsibilities.
 	
Additional interim report
What did the interim reviews tell you about your assigned roles and responsibilities?
 	
Your response should describe:
• What significant gaps did it reveal?
• What is your action plan for addressing those gaps?
	Roles & responsibilities
	How have you assigned roles and responsibilities to support successful implementation and maintenance of your new employee performance management program?
	
	Your response should describe:
	• New/modified assignments
	• How assignments have been communicated
	• How they will contribute to the CPC.
	• How they address gaps identified in your previous analyses.
	
	Include as attachments copies of policies, procedures or other communications that outline roles and responsibilities.
		Roles & responsibilities
		❑ New/modified roles and responsibilities are assigned for:
		  ❑ Executive management
		  ❑ Human resources
		  ❑ Supervisors
		  ❑ Employees
		❑ Each person with an assigned role is aware of his/her role and responsibilities.
		❑ Role and responsibility assignments thoroughly address:
		  ❑ Executive management responsibility for leadership and oversight.
		  ❑ Human resource responsibility for monitoring, reporting and coaching.
		  ❑ Supervisor responsibility for:
		    ❑ Performance planning
		    ❑ Feedback, coaching and evaluation
		    ❑ Recognizing accomplishment
		    ❑ Taking corrective action, when necessary
		❑ Employee responsibility for:
		  ❑ Participating in performance planning

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
Include as attachments: • A revised copy of assigned roles and responsibilities (if necessary) • A copy of revised action plan (if necessary)		❑ Achieving performance/competency targets ❑ Seeking feedback and clarification when necessary ❑ Correcting poor performance, when necessary
4. Management Accountability		
Management accountability **Interim report** What modifications are you proposing to management accountabilities? Your response should describe: • Tasks accomplished from your action plan. • Modifications to your action plan. • How you have addressed the gaps identified in your previous analysis. • Any new gaps you have identified. • What new or modified management accountabilities you are making to support the CPC. Include as attachments copies of draft policies, procedures or other documentation that outlines new or modified management accountabilities. **Additional interim report**	**Management accountability** How will your managers and supervisors be held accountable for consistent, equitable and transparent administration of the CPC? Your response should describe: • New/modified accountability standards, including the consequences of poor performance for managers/supervisors. • How new/modified accountability standards, communicated to managers/supervisors. • How they will contribute to the CPC. • How they address gaps identified in your previous analyses. • Your monitoring and tracking processes for ensuring compliance. Include as attachments copies of policies, procedures or other communications that outline accountability standards and practices.	**Management accountability** ❑ Clear accountability standards and practices exist for managers and supervisors. ❑ Managers and supervisors clearly understand consequences for failure to meet performance management responsibilities. ❑ Administrative process in place for tracking manager and supervisor compliance with performance management standards and practices.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
What did the interim reviews tell you about your accountability standards and practices? Your response should describe: • Significant gaps revealed • Your action plan for addressing those gaps Include as attachments: • A revised copy of accountability standards (if necessary). • A copy of revised action plan (if necessary).		
5. Policies and procedures		
Policies and procedures **Interim report** What modifications are you proposing to policies and procedures? Your response should describe: • Tasks accomplished from your action plan. • Modifications to your action plan. • How you have addressed the gaps identified in your previous analysis. • Any new gaps you have identified. • What new or modified policies and procedures you are making to support the CPC.	**Policies and procedures** How do your policies and procedures support the CPC? Your response should describe: • How your EPM policy will contribute to the success of the CPC. • Your process for developing and implementing policies and procedures. Include as attachments: • Copy of new EPM policy • Procedures for developing and communicating policies and procedures	**Policies and procedures** **Policy – content** **EPM policy** ❑ Describes executive commitment to EPM. ❑ Describes linkage between EPM, organizational performance management and accomplishment of organizational goals. ❑ Describes the principles and purpose of the EPM system. ❑ Describes roles and responsibilities of various staff relative to EPM. **Policy –process** ❑ Describes process for drafting policies and procedures.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
Include as attachments copies of draft policies and procedures. Second interim report What did the interim reviews tell you about your policies and procedures? Your response should describe: • Significant gaps revealed • Your action plan for addressing those gaps Include as attachments: • A revised copy of policies and procedure(s) (if necessary) • A copy of revised action plan (if necessary)		❑ Describes process for getting feedback and input. ❑ Describes process for communicating new/revised policies and procedures.
6. Communication Strategy		
Communication strategy None	**Communication strategy** What is your internal communication strategy during implementation of the CPC? Your response should describe your communication strategy, including: • Key themes you intend to communicate to managers/supervisors. • Key themes you intend to communicate to employees.	**Communication strategy** ❑ Completed risk analysis ❑ Action plan for addressing identified risks (detailing who, what and when), which includes: 　❑ Involvement of executive management, human resources, supervisors and employees 　❑ Targeted communication to managers/supervisors 　❑ Targeted communication to employees

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
	• The significant communication risks that you will need to address. • Contingency plans for eliminating misunderstandings and destructive myths. Include as attachments: • Your action plan (detailing who, what and when) • Copies of communication	❑ Communication throughout agency, across all work units and locations ❑ Use of both formal and informal means of communication ❑ Linkage with planned training ❑ Regular updates
External stakeholders None	**External stakeholders** What is your strategy for communicating with key external stakeholders (e.g., boards, legislators, regulators and media) during implementation of the CPC? Your response should describe: • How you plan to communicate with external clients and customers. Include as attachments: • Your action plan (detailing who, what and when) • Copies of communication	**External stakeholders** ❑ External stakeholder communication action plan (detailing who, what and when)
7. Training & Development Strategy		
Training & development strategy **Interim report** What modifications are you proposing to the training plan and requirements? Your response should describe:	**Training & development strategy** How does your agency's training plan support the CPC? Your response should describe: • Your commitment to training.	**Training & development strategy** ❑ Demonstrated executive commitment to staff training, including: ❑ Financial resources ❑ Release time

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards

• Tasks accomplished from your action plan.
• Modifications to your action plan.
• How you have addressed the gaps identified in your previous analysis.
• Any new gaps you have identified.
• What new or modified training requirements you are making to support the CPC.
	• Your core management/supervisor and employee training requirements.
	• Your process and tools for monitoring compliance.
	• Your current level of compliance.
	
	Include as attachments:
	• Your organization training plan, detailing required training.
	• Your monitoring reports, detailing current compliance with training requirements.
		❑ Established training requirements for:
		  ❑ Senior leaders and managers
		  ❑ Supervisors
		  ❑ Employees
		  ❑ New supervisors
		  ❑ New employees
		❑ Core training requirements for managers and supervisors that include:
		  ❑ Supervisor's essentials or equivalent
		  ❑ Performance planning and development
		  ❑ Job analysis and PDF writing
		❑ Monitoring and reporting system that:
		  ❑ Tracks all employees
		  ❑ Reports compliance to executive management
		❑ Demonstrated 90% compliance with required training.

Training & development
Training – PDP
Interim report
What modifications are you making to your PDP training?
 	
Your response should describe:
• What new or modified training curriculum you are developing to support the CPC.
	Training & development
	Training – PDP & PIP
	What orientation and training will you provide to employees, supervisors and managers to implement your new CPC?
	
	Your response should describe:
	• What modifications you are making to your PDP training requirements.
		Training & development
		Training – PDP & PIP
		PDP curriculum
		❑ PDP training that includes:
		  ❑ How to cascade organizational goals through individual key results expected
		  ❑ How to distinguish between different levels of performance.
		  ❑ One-on-one assistance from a variety of sources.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
• How these changes address previously identified gaps. Include as attachments: • Revised PDP curriculum • PDP training schedule	• What training you are implementing to support your performance incentive program (if applicable). • Training completion rates for PDP & PIP training conducted. Include as attachments: • Training curriculum and training aids for PDP course • Training curriculum and training aids for performance incentive program course (if applicable)	❑ Training incorporated into supervisor's development plans. **Training requirements** ❑ 100% supervisor PDP course completion. ❑ Ongoing refresher training: • Included in new employee and new supervisor orientation • Included in supervisors' PDPs **Training completion** ❑ 100% supervisor PDP course completion **PIP curriculum (if applicable)** ❑ Performance incentive program training curriculum that addresses: ❑ Roles and responsibilities ❑ Processes, criteria, standards and expectations ❑ One-on-one assistance ❑ Training incorporated in supervisor's PDPs ❑ Reconsideration process
8. PDP Implementation		
PDP implementation **PDP – practices** **Interim report** What modification are you making to implement the CPC?	**PDP implementation** **PDP – practices** How do your PDPs support successful implementation and maintenance of the CPC?	**PDP implementation** **PDP – practices** **Framework** ❑ Agency demonstrates framework in place for PDPs which cascade strategic/business plan goals and

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards

How do these modifications address previously identified gaps?
 	
What modifications are you making to your performance management practices to support the PIP (if applicable)?
 	
Your response should describe:
• Your conceptual framework for cascading strategic/business plan goals and organization performance measures down to individual PDP key results expected.
• How your framework will ensure:
  ▪ Key result and competency expectations are written with clear performance measures and standards.
  ▪ Supervisors link performance evaluations back to performance expectations identified in Part 1 of the PDP.
 	
Include as attachments:
• A copy of model PDPs (plan and evaluation)
• A copy of revised action plan (if necessary)
 	
Additional interim report
What did the interim reviews tell you about the quality of your current PDP plans?
	Your response should describe:
	• Your conceptual framework for cascading strategic/business plan goals and organization performance measures down to the individual PDP key results expected.
	• How your framework will ensure:
	  ▪ Key result and competency expectations are written with clear performance measures and standards.
	  ▪ Supervisors link performance evaluations back to performance expectations identified in Part 1 of the PDP.
	
	Include as attachments:
	• A sample of up to 10 PDP plans from the current evaluation cycle representing a cross section of employees.
	• A sample of up to 10 PDP evaluations from the previous evaluation cycle, representing a cross section of employees.
		organization performance measures down to individual PDP key results expected.
		
		PDFs
		❑ Clearly state essential job functions and major job duties.
		❑ Clearly identify knowledge, skills, abilities and behaviors needed for successful job performance.
		PDPs
		Planning components (Parts 1, 2 and 3)
		❑ Supervisors set individual job-related performance expectations that:
		  ❑ Set expectations with clear performance measures and results which contribute to unit, program and organizational goals.
		  ❑ Are specific, measurable, action-oriented, realistic and time-oriented (SMART).
		  ❑ Contain position-specific, measurable and observable competencies.
		❑ Employee development plans contain training plans for developing and maintaining key knowledge and skills needed for successful job performance.
		❑ Majority of employees provide input.

OPTIONAL Interim Report Questions	**Final Application Questions**	**Final Application Evaluation Standards**
Your response should describe: • Significant gaps revealed • Your action plan for addressing those gaps Include as attachments: • A revised copy of model PDPs (if necessary) • A copy of revised action plan (if necessary)		Evaluation components: (Parts 4 & 5) ❑ Periodic interim reviews conducted to accurately reflect changes to work assignments or special projects. Supervisors' feedback: ❑ Measurably distinguishes between unsatisfactory and satisfactory performance. ❑ Links performance results back to performance expectations identified in Part 1 of the PDP.

PDP implementation
PDP – process
Interim report
What modifications have you made to the PDP process to implement your new PDP practices?
 	
Your response should describe:
• Tasks accomplished from your action plan
• Modifications to your action plan
• Significant gaps revealed
• Your action plan for addressing those gaps
 	
What new or modified performance planning and evaluation processes you are making to support the PIP (if applicable)?
	PDP implementation
	PDP – process
	How does your PDP process support your new performance management program?
	
	How effective are your performance planning and evaluation monitoring/compliance practices?
	
	Your response should describe your evaluation cycle, including whether you use a standardized cycle(s).
	• Time frames for drafting, discussing, submitting and reviewing plans and evaluations (including how these time frames are communicated to supervisors and employees).
		PDP implementation
		PDP – process
		❑ Agency has used the PDP to plan and appraise performance for one or more performance cycles.
		❑ Agency has met established time frames and deadlines for completing the PDP.
		❑ Agency demonstrates use of periodic interim reviews, including at least one mid-term evaluation during the review period.
		❑ Agency has ongoing monitoring and reporting system that tracks 100% completion/compliance rate for:
		  ❑ Performance expectations
		  ❑ IDPs (if applicable)
		  ❑ Performance evaluations

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards

Include as attachments copies of draft policies, procedures or other documentation outline new or modified performance planning and evaluation processes.
 	
Additional Interim Report
What did the interim reviews tell you about your PDP process?
 	
Your response should describe:
• Significant gaps revealed
• Your action plan for addressing those gaps
	• How and when employees are provided either verbal or written feedback and coaching during the evaluation cycle, including interim reviews.
	• Your policies, procedures and tools for monitoring quality and compliance.
	• Your current level of compliance.
	
	Include as attachments HR Management Report detailing current completion rates.
		❑ Current position descriptions
		❑ Tracks all employees.
		❑ Reports compliance to executive management.
		❑ Conducts reviews for PDPs for quality and improvement:
		  ❑ Percentage of interim reviews conducted
		  ❑ Percentage of employees receiving a final performance evaluation
		  ❑ Percentage improvements in employee, unit or organizational performance ratings (See employee confidence.)

Readiness assessment **Employee confidence** **Interim report** What have you done to address gaps in the employee survey? Your response should describe your action plan for addressing gaps. Include as attachments a copy of action plan (if necessary) **Additional interim report** What did your second survey tell you about employee confidence?	**Readiness assessment** **Employee confidence** How confident are your employees in the organization's ability to manage performance? Your response should describe: • Your survey process. • Your survey results. • Analysis of actions taken to address initial agreement ratings below 60% and overall response rate below 65%. • Your strategy and action plan for continuing evaluation and reporting of employee engagement.	**Readiness assessment** **Employee confidence** ❑ Completed initial and follow-up surveys using standard SHR instrument. ❑ Surveys administered to all agency employees. ❑ Results are tabulated separately between management and employees. ❑ 60% or more accumulative average percent positive score (i.e., agree and strongly agree). ❑ 65% or greater overall response rate. ❑ Strategy and action plan for continuing evaluation and reporting of employee

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
Your response should describe significant gaps revealed and your action plan for addressing those gaps.	Include as attachments completed CPC Employee Performance Management Program Survey.	engagement (as reported through all-staff employee survey results, etc.).
9. Funding Plan		

Funding plan
Interim report
What is your plan for funding the performance incentive program (if applicable)?
 	
Your response should describe:
• Your estimated costs to fund the program
• Your anticipated funding approach
• Your communications with your OFM budget analyst
 	
Include as attachments:
• A copy of the cost analysis and estimates
 	
Additional interim report
What modifications are you making to your funding approach to implement and support your performance incentive program (if applicable)?
 	
Your response should describe your revised cost estimates.
 	
Include as attachment a copy of revised cost
	Funding plan
	Approach
	How will you fund the performance incentive program?
	
	Your response should describe:
	• Your estimated costs to fund the program
	• Your funding approach
	• Your communications with your OFM budget analyst
	• Your process for monitoring and reporting estimated and actual costs to senior management
	
	Include as attachments:
	• A copy of the cost analysis and estimates
	• A copy of the letter from your agency director certifying funds are available
		Funding plan
		Approach
		❑ Agency demonstrates a sustainable funding approach:
		  ❑ Funding approved at the executive level
		  ❑ Funding approach meets OFM budget standards
		  ❑ Worked with OFM budget analyst to discuss funding options such as:
		    ❑ Set-aside monies allocated during the normal allotment process (provided that the set aside does not impact services)
		    ❑ Actual savings from efficiencies
		    ❑ Use of monies saved through actual vacancies
		    ❑ Additional funding through legislative or other action
		  ❑ Prudent cost analysis
		
		Reporting
		❑ Transparent and ongoing reporting of estimated and actual costs to senior management.

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards
analysis and estimates.		
10. Monitoring Plan		

OPTIONAL Interim Report Questions	Final Application Questions	Final Application Evaluation Standards

Monitoring plan
Interim report
How do you plan to monitor and report on the performance incentive program (if applicable)?
 	
Your response should describe:
• What information you will monitor, analyze and report
 	
Include as attachments a copy of the monitoring action plan (detailing who, what and when).
 	
Additional interim report
What modifications are you making to your monitoring plan to support your performance incentive program (if applicable)?
 	
Your response should describe your revised monitoring action plan (detailing who, what and when).
 	
Include as attachments a copy of the modified monitoring action plan (detailing who, what and when).
	Monitoring plan
	How will you monitor and report on the performance incentive program?
	
	Your response should describe:
	• What information you will monitor, analyze and report
	
	Include as attachments a copy of the monitoring action plan (detailing who, what and when).
		Monitoring plan
		Operations
		❑ The agency monitors program operations, including:
		  ❑ Nominations
		  ❑ Awards.
		  ❑ Number and percentage of requests for reconsideration and final resolution
		Performance
		❑ The agency monitors and has targets for employee performance-level impacts.
		❑ The agency monitors and has targets for organizational performance-level impacts.
		Employee engagement
		❑ The agency monitors employee engagement levels through pre- and post-survey process.
		Reporting process
		❑ The agency has an action plan for annually analyzing and reporting the status and results of the program internally.

Please be sure to complete the following items before submitting your preliminary application:

☑	Checklist Item
☐	**Develop model program** ❑ The project manager and work group developed: 　❑ Model format and content PDPs. 　❑ Developed or revised policies and procedures for assigned roles, responsibilities, management accountability. 　❑ Training and communication strategies and plans. ❑ The project manager and work group have developed the performance incentive program (PIP), including: 　❑ Program award criteria and process 　❑ Recommendation and approval process 　❑ Reconsideration process 　❑ Funding and monitoring ❑ The project manager and work group have developed or documented current program components (performance review requirement, rewards, recognition, coaching for performance, effective continuous feedback, agile goal setting and strengths-based development)
☐	**Test model program** The work group tested the PIP award criteria against the model PDPs.
☐	**Optional interim report** ❑ The work group assessed progress and test results and reported findings to SHR. ❑ The CRG provided feedback.
☐	**Audit, employee survey and training** ❑ Following full evaluation cycle, the project manager and work group audited and tested the evaluations and new PDP plans against the award criteria. Audit results were used to: 　❑ Update the PDP model and award criteria. 　❑ Provide feedback to supervisors. 　❑ Correct poor PDP plans prior to final submission. ❑ An employee confidence survey conducted. ❑ PIP supervisory training curriculum developed.

☑	Checklist Item

☐	**Final application**
	Upon submittal, the work group has completed the following:
	❑ A policy for the performance management system has been established.
	❑ Procedures have been established that govern the actions for which performance management confirmation is being requested (i.e., leave, etc.).
	❑ Accountability has been established for managers for their responsibilities in performance management.
	❑ A communication strategy and plan are in place.
	❑ A training plan is in place to provide supervisors training in:
	   ❑ The PDP form and process
	   ❑ PIP
	❑ A sustainable funding approach is in place.
	❑ A monitoring plan with performance measures has been established.

☐	**Submit application** Submit your application to: Olivia Huynh, Employee Performance and HR Development Coordinator OFM, State Human Resources Division 128 10th Ave SW RAAD Building Olympia, WA 98504-43113

Please be sure to complete the following items as you prepare for final confirmation:

☑	Checklist Item
☐	**Presentation** Your chief executive/deputy, project manager and work group have presented your application to SHR and the CRG.
☐	**Decision** The OFM director or designee makes a decision to grant confirmation.

Congratulations!